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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Robert Martinson et al.

Application No./Patent No.: 10/823,355

Filed/Issue Date: April 12, 2004

Titled: Moving Interleaved Sputter Chamber Shields

Novellus Systems, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 015525, Frame 0731, or for which a copy therefore is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

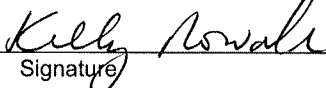
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


Signature

April 21, 2010

Date

Kelly M. Nowak

Attorney of Record

Printed or Typed Name

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



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DELIO & PETERSON, LLC
121 WHITNEY AVENUE
NEW HAVEN, CT 06510-1241



UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/02/2004

REEL/FRAME: 015525/0731
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MARTINSON, ROBERT

DOC DATE: 04/19/2004

ASSIGNOR:

BOURDON, NORMAN

DOC DATE: 04/19/2004

ASSIGNOR:

LAI, KWOK FAI

DOC DATE: 04/21/2004

ASSIGNOR:

SHRIVASTAVA, DHAIRYA

DOC DATE: 04/19/2004

ASSIGNOR:

SHUFFLEBOTHAN, PAUL

DOC DATE: 04/19/2004

ASSIGNEE:

NOVELLUS SYSTEMS, INC.
4000 NORTH FIRST STREET
SAN JOSE, CALIFORNIA 95134

SERIAL NUMBER: 10823355

FILING DATE: 04/12/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: MOVING INTERLEAVED SPUTTER CHAMBER SHIELDS

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

PATENT RECORD



To the Honorable Commissioner of Patents and Tradem

102784600

ocuments or copy thereof.

<p>1. Name of conveying party(ies): 7.2.04 Robert Martinson Dhairya Shrivastava Norman Bourdon Paul Shufflebothan Kwok Fai Lai</p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <hr/> <p>3. Nature of Conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____</p> <p>Execution Date: <u>(1) April 19, (2) April 19, (3) April 21,</u> <u>(4) April 19, and (5) April 19, 2004</u></p>	<p>2. Name and address of receiving party(ies):</p> <p>Name: Novellus Systems, Inc.</p> <p>Street Address: 4000 North First Street</p> <p>City: San Jose State: CA</p> <p>Zip Code: 95134</p> <p>Additional Name(s) & Address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>4. Patent Application Serial No.: <u>10/823,355</u> filed April 12, 2004</p> <p>Entitled: MOVING INTERLEAVED SPUTTER CHAMBER SHIELDS</p> <p>If this document is being filed together with a new application, the execution date of the application is: _____</p> <p>A. Patent Application No.(s) B. Patent No.(s)</p> <p>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>5. Name and address of party whom correspondence concerning document should be mailed:</p> <p>Name: DeLIO & PETERSON, LLC Street Address: 121 Whitney Avenue City: New Haven State: CT Zip Code: 06510-1241 Tel. No.: 203-787-0595</p>	<p>6. Total number of applications and patents involved:.....[1]</p> <hr/> <p>7. Total Fee (37 CFR 3.41) \$ 40.00 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to Deposit Account number below</p> <hr/> <p>8. <input checked="" type="checkbox"/> Authorized to charge Deposit Account Number 04-0566 for any over or Under payment</p>
<p>DO NOT USE THIS SPACE</p>	
<p>9. Statement and Signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</p> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 30%;"> <p>Peter W. Peterson Name of Person Signing Reg. No. 31,867</p> </div> <div style="width: 30%; text-align: center;"> <p> Signature</p> </div> <div style="width: 30%; text-align: center;"> <p>6/30/04 Date</p> </div> </div> <p>Total number of pages including cover sheet, attachments, and document: [5]</p> <hr/> <p style="text-align: center;">=====</p> <p style="text-align: center;">CERTIFICATE OF MAILING</p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service on the date indicated below as first class mail in an envelope addressed to: Mail Stop <u>ASSIGNMENT</u>, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450</p> <p>Name: <u>Barbara Browne</u> Date: <u>June 30, 2004</u> Signature: </p>	

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 OPR/FINANCE

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 07/06/2004 14060078 10823355
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ASSIGNMENT

WHEREAS, we, (1) Robert Martinson, (2) Norman Bourdon, (3) Kwok Fai Lai, (4) Dhairya Shrivastava. and (5) Paul Shufflebothan who reside respectively at (1) 4123 Park Blvd., Palo Alto, CA 94036; (2) 611 San Conrado Terrace #6, Sunnyvale, CA 94085; (3) 959 Van Auken Circle, Palo Alto, CA 94303; (4) 3011 N. First Street, San Jose, CA 95134; (5) 1574 Willowdale Drive, San Jose, CA 95118, have certain interests and rights in and to inventions and discoveries set forth in an application for Letters Patent of the United States of America entitled MOVING INTERLEAVED SPUTTER CHAMBER SHIELDS which application was executed by us on the 19th day of April, 2004, 19th day of April, 2004, 21st day of April, 2004, 19th day of April, 2004, 19th day of April, 2004, and is identified by DeLIO & PETERSON, LLC Docket No. NOVE100042000 and by U.S.P.T.O. patent application S/N 10/823,355 filed on April 12, 2004.

WHEREAS, Novellus Systems Inc, a California corporation, whose address is 4000 North First Street, San Jose, California 95134, together with its successors and assigns is hereinafter called "Assignee", is desirous of acquiring the title, rights and benefits and privileges hereinafter recited:

NOW, THEREFORE, for valuable consideration furnished by Assignee to us, the receipt and sufficiency of which we hereby acknowledge, we hereby, without reservation:

1. Assign, transfer and convey to Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or discoveries, or upon said applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions and discoveries or upon said applications and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;

2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our name or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;

3. Authorize and request the Commissioner of Patents of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to assignee without encumbrance;

ASSIGNMENT

WHEREAS, we, (1) Robert Martinson, (2) Norman Bourdon, (3) Kwok Fai Lai, (4) Dhairya Shrivastava. and (5) Paul Shufflebothan who reside respectively at (1) 4123 Park Blvd., Palo Alto, CA 94036; (2) 611 San Conrado Terrace #6, Sunnyvale, CA 94085; (3) 959 Van Auken Circle, Palo Alto, CA 94303; (4) 3011 N. First Street, San Jose, CA 95134; (5) 1574 Willowdale Drive, San Jose, CA 95118, have certain interests and rights in and to inventions and discoveries set forth in an application for Letters Patent of the United States of America entitled MOVING INTERLEAVED SPUTTER CHAMBER SHIELDS which application was executed by us on the 19th day of April, 2004, 19th day of April, 2004, 21st day of April, 2004, 19th day of April, 2004, 19th day of April, 2004, and is identified by DeLIO & PETERSON, LLC Docket No. NOVE100041000.

WHEREAS, Novellus Systems Inc, a California corporation, whose address is 4000 North First Street, San Jose, California 95134, together with its successors and assigns is hereinafter called "Assignee", is desirous of acquiring the title, rights and benefits and privileges hereinafter recited:

NOW, THEREFORE, for valuable consideration furnished by Assignee to us, the receipt and sufficiency of which we hereby acknowledge, we hereby, without reservation:

1. Assign, transfer and convey to Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or discoveries, or upon said applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions and discoveries or upon said applications and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;

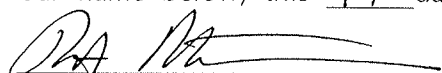
2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our name or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;

3. Authorize and request the Commissioner of Patents of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to assignee without encumbrance;

5. Bind our heirs, legal representatives and assigns, as well as ourselves, to do, upon Assignee's request and at its expense, but without additional consideration to us or it, all acts reasonably serving to assure that said inventions and discoveries, said patent applications and said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by us, our heirs, legal representatives and assigns if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof, and to furnish Assignee with any and all documents, photographs, models, samples and other physical exhibits in our control or in the control of our heirs, legal representatives or assigns and which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

In testimony of which we have signed our name below, this 19th day of APRIL, 2004.

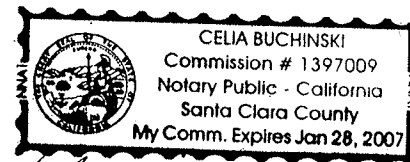

Robert Martinson

On this 19th day of April, 2004, before me appeared Robert Martinson to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

STATE OF

COUNTY OF

(SEAL)




Notary Public


Norman Bourdon

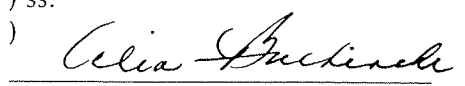
On this 19th day of APRIL, 2004, before me appeared Norman Bourdon, to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

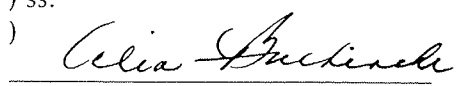
STATE OF

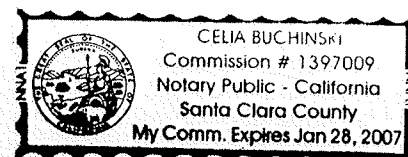
COUNTY OF

(SEAL)

)
) ss:
)




Notary Public



Kwok Fai Lai
Kwok Fai Lai

On this 21th day of April, 2004, before me appeared Kwok Fai Lai to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

STATE OF)
) ss:
COUNTY OF)

(SEAL)

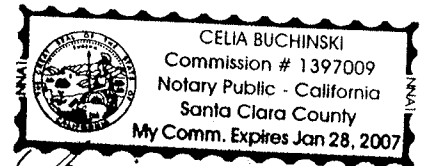
Notary Public

Dhairya Shrivastava
Dhairya Shrivastava

On this 19th day of April, 2004, before me appeared Dhairya Shrivastava to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

STATE OF)
) ss:
COUNTY OF)

(SEAL)



Celia Buchinski
Notary Public

Paul Shufflebothan
Paul Shufflebothan

On this 19 day of APRIL, 2004, before me appeared Paul Shufflebothan to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

STATE OF)
) ss:
COUNTY OF)

(SEAL)

Celia Buchinski
Notary Public

